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PATENT

IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

Applicant(s): Dunning, et al. Atty. Docket No.: 40655.5800
Serial No.: TBA Conf. No.: TBA
Filed: August 27, 2001 Group Art Unit: TBA
TITLE: SYSTEM AND METHOD FOR Examiner: TBA
CREATING AND ADMINISTERING
AN INVESTMENT INSTRUMENT

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**SYSTEM AND METHOD FOR CREATING AND
ADMINISTERING AN INVESTMENT INSTRUMENT**

the specification of which:

☐ is attached hereto.
☒ was filed on August 27, 2001 as Application Serial No. _____
and was amended on _____ if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Full name of first inventor Doug Dunning

First inventor's signature _____ Date _____

Residence 13526 Flint Lane, Minneapolis, Minnesota 55124

Citizenship U.S.A.

Post Office Address same as residence

Full name of second inventor Ron Bristol

Second inventor's signature  Date 9/10/01

Residence 1729 100th Ave., Hammond, WI 54015

Citizenship U.S.A.

Post Office Address same as residence

Full name of third inventor Georgann G. Burns

Third inventor's signature _____ Date _____

Residence 2318 Taft Street, NE, Minneapolis, Minnesota 55418

Citizenship U.S.A.

Post Office Address same as residence

Full name of fourth inventor Pan Hall

Fourth inventor's signature _____ Date _____

Residence 6109 Rideway Road, Edina, MN 55436

Citizenship U.S.A.

Post Office Address same as residence

Full name of first inventor Doug Dunning

First inventor's signature _____ Date _____

Residence 13526 Flint Lane, Minneapolis, Minnesota 55124

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Full name of second inventor Ron Bristol

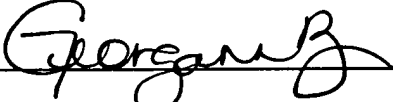
Second inventor's signature 1729 100th Ave., Hammond, WI 54015 Date _____

Residence _____

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Post Office Address same as residence

Full name of third inventor Georgann G. Burns

Third inventor's signature  Date 9.10.01

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Post Office Address same as residence

Full name of fourth inventor Pan Hall

Fourth inventor's signature _____ Date _____

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Full name of first inventor Doug Dunning

First inventor's signature _____ Date _____

Residence 13526 Flint Lane, Minneapolis, Minnesota 55124

Citizenship U.S.A.

Post Office Address same as residence

Full name of second inventor Ron Bristol

Second inventor's signature 1729 100th Ave., Hammond, WI 54015 Date _____

Residence _____

Citizenship U.S.A.

Post Office Address same as residence

Full name of third inventor Georgann G. Burns

Third inventor's signature _____ Date _____

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Citizenship U.S.A.

Post Office Address same as residence

Full name of fourth inventor Pan Hall

Fourth inventor's signature *Pan Hall* Date 9/10/01

Residence 6109 Ridgeway Road, Edina, MN 55436

Citizenship U.S.A.

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Full name of fifth inventor Douglas Hoover

Fifth inventor's signature *Douglas Hoover* Date 9-10-2001
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Post Office Address same as residence

Full name of sixth inventor Terry McEvoy

Sixth inventor's signature 1706 W. Eldridge Ave., Roseville, MN 55113 Date _____

Residence _____

Citizenship U.S.A.

Post Office Address same as residence

Full name of sixth inventor Bruce Kohn

Sixth inventor's signature _____ Date _____

Residence 4508 Claremore Court, Edina, Minnesota 55435

Citizenship U.S.A.

Post Office Address same as residence

Full name of fifth inventor Douglas Hoover

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Residence _____

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Post Office Address same as residence

Full name of sixth inventor Terry McEvoy

Sixth inventor's signature 1706 W. Eldridge Ave., Roseville, MN 55113 Date 9/11/01

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Full name of sixth inventor Bruce Kohn

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Post Office Address same as residence

Full name of sixth inventor Terry McEvoy

Sixth inventor's signature 1706 W. Eldridge Ave., Roseville, MN 55113 Date _____

Residence _____

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Full name of sixth inventor Bruce Kohn

Sixth inventor's signature Bruce Kohn Date 11-26-01

Residence 4508 Claremore Court, Edina, Minnesota 55435

Citizenship U.S.A.

Post Office Address same as residence

Priority Not Claimed

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_____ Number	_____ Country	_____ Filing Date
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_____ Number	_____ Country	_____ Filing Date
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I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/228,366
Application Number

August 28, 2000
Filing Date

Application Number

Filing Date

Application Number

Filing Date

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

Application Serial No.

Filing Date

Status — Patent, Pending,
Abandoned

Application Serial No.

Filing date

Status — Patent, Pending,
Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of fifth inventor Douglas Hoover

Fifth inventor's signature 15038 Quamba St. N.E., Ham Lake, MN 55304 Date _____

Residence _____

Citizenship U.S.A.

Post Office Address same as residence

Full name of sixth inventor Terry McEvoy

Sixth inventor's signature 1706 W. Eldridge Ave., Roseville, MN 55113 Date _____

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First inventor's signature *Doug K. Dunning* Date 9-10-01
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Second inventor's signature 1729 100th Ave., Hammond, WI 54015 Date _____
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